

## Electronic Acknowledgement Receipt

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| <b>EFS ID:</b>                              | 6100961  |
| <b>Application Number:</b>                  | 10631243   |
| <b>International Application Number:</b>    |  |
| <b>Confirmation Number:</b>                 | 1608   |
| <b>Title of Invention:</b>                  | Methods and systems for processing and managing corporate action information |
| <b>First Named Inventor/Applicant Name:</b> | Kimberly D. Seaman   |
| <b>Customer Number:</b>                     | 26285  |
| <b>Filer:</b>                               | Michael Lazzara/Amanda Kernan  |
| <b>Filer Authorized By:</b>                 | Michael Lazzara  |
| <b>Attorney Docket Number:</b>              | 020420   |
| <b>Receipt Date:</b>                        | 18-SEP-2009  |
| <b>Filing Date:</b>                         | 31-JUL-2003  |
| <b>Time Stamp:</b>                          | 16:06:40   |
| <b>Application Type:</b>                    | Utility under 35 USC 111(a)  |

### Payment information:

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| Payment Type                             | Deposit Account |
| Payment was successfully received in RAM | \$1920          |
| RAM confirmation Number                  | 2288            |
| Deposit Account                          | 111110          |
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# File Listing:

| Document Number                             | Document Description                                 | File Name                     | File Size(Bytes)/ Message Digest                    | Multi Part /.zip | Pages (if appl.) |
|---|--|-------------------------------|---|------------------|------------------|
| 1   | Extension of Time                                    | Amendment_transmittal.pdf     | 246678<br>45c3ee03308c5d9e29294126b05c6e167c7f04    | no               | 4                |
| Warnings:                                   |  |                               |   |                  |                  |
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| 2   | Request for Continued Examination (RCE)              | RCE.pdf                       | 138509<br>efabbb16d941d8dc96f0c19a3b0cc1f0c5278b2   | no               | 1                |
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| 3   |  | Response_to_Office_Action.pdf | 2027974<br>b1e4d9b16c1cd817ad621a57080c2e0748f9a09  | yes              | 26               |
|   | Multipart Description/PDF files in .zip description  |                               |   |                  |                  |
|   | Document Description                                 | Start                         | End   |                  |                  |
|   | Amendment Submitted/Entered with Filing of CPA/RCE   | 1                             | 1   |                  |                  |
|   | Claims   | 2                             | 12  |                  |                  |
|   | Applicant Arguments/Remarks Made in an Amendment     | 13                            | 26  |                  |                  |
| Warnings:                                   |  |                               |   |                  |                  |
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| 4   |  | Supplemental_IDS.pdf          | 746289<br>86c45708e9113ad21a74023f0b023dc39c2959    | yes              | 7                |
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|   | Transmittal Letter                                   | 1                             | 2   |                  |                  |
|   | Information Disclosure Statement (IDS) Filed (SB/08) | 3                             | 7   |                  |                  |
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| 5   | NPL Documents  | 12-117387_Application.pdf     | 4444552<br>d80f73b2fec22d1f6c2ac1c2c555d62d628f81ad | no               | 50               |
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| 6                   | NPL Documents | 11-237501_Application.pdf                             | 5076967<br>4a1b202d8bc7aef1ad1dd1d14a8573e4f31f77d2  | no | 43 |
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| 7                   | NPL Documents | 12-019964_Application.pdf                             | 4583531<br>25e796cd2d6d6017a794851e55d83ed34a8e      | no | 55 |
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| 8                   | NPL Documents | 10-631165_NOA_01-06-09.pdf                            | 2002948<br>8a87d9ee89966d8f025d8b62a9375c4d7e1d18c74 | no | 21 |
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| 9                   | NPL Documents | 020673_July_1_2009_Notice_of Allowance_10_631_165.pdf | 692010<br>d5a028d1157b8c410562d7d2d892a98f9653d      | no | 7  |
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| 10                  | NPL Documents | Business_editors_high_tech_writers.pdf                | 350819<br>8cedb3282e2e6e8e8195e951b3695a7f0aebf      | no | 4  |
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| 11                  | NPL Documents | CIPN_tricontinental.pdf                               | 220985<br>fe04b5f6f753aeb5af6482bee7bc4db467cc9eb98  | no | 1  |
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| 12                  | NPL Documents | Bankers_Systems_3-4-2002.pdf                          | 389309<br>5a228b431188baa28092e624b71267f016a8b3a    | no | 3  |
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| 13                  | NPL Documents | ICI_org.pdf   | 241645<br>b4f3821a26ed7645648755900a3017be57585ee    | no | 2  |
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| 14                  | NPL Documents | Vujovich.pdf  | 331879<br>7444b2287cd5d8a151418fcd9d902d495fdcc2a    | no | 3  |
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| 15           | NPL Documents | Choice_Point.pdf                  | 259504<br>0eed00b6f70512648f7bdc05db91b1b125-<br>ab350f | no | 2 |
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| 16           | NPL Documents | NY_Bankers_Service_09-22-2003.pdf | 325179<br>01a28fb76670b20ba79329f936d84e81c02-<br>7a955 | no | 2 |
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| 17           | NPL Documents | Bankers_Systems_06-13-2002.pdf    | 318233<br>117c3208124528a5e7f48a9482eb434e8f-<br>3fc    | no | 2 |
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| 18           | NPL Documents | Pallay.pdf                        | 263114<br>ab1074e00dc758067db5c08d06ba7eb3d3-<br>e055   | no | 2 |
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| 19           | NPL Documents | Bruce.pdf                         | 426906<br>5217ca3a5da0dc59479116dd9fac5fc0308-<br>7d55  | no | 6 |
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| 20           | NPL Documents | Holistic_Compliance.pdf           | 770069<br>2bc3f08ec3edc36a02716208d4e0850c27-<br>a81    | no | 5 |
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| 21           | NPL Documents | PFPC_10-13-2003.pdf               | 201854<br>d4f617e050dc07bca04d27352c2760e0a-<br>9295c   | no | 1 |
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| 23           | NPL Documents | PFPC_10-07-2003.pdf               | 139096<br>3c5e9b5162a925a0f0891a74c1933d5d80-<br>5015   | no | 1 |
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| 24           | NPL Documents | PFPC_10-6-2003.pdf                                 | 209254<br>85a0b18b493d4533c7ac7e5c2147093c01e58ba8 | no | 1 |
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| 25           | NPL Documents | Tool_Aids_Compliance_10-20-2003.pdf                | 177004<br>c1b4044e4e0d0af158f7226218bc96c61b4243ea | no | 1 |
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| 26           | NPL Documents | Leswing_10-31-2003.pdf                             | 187950<br>f166e0e7647a7e050c80a01c1ab37c09533e1d93 | no | 2 |
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| 27           | NPL Documents | Leswing_10-24-2003.pdf                             | 260747<br>6c31778c2d62340212113e0cdcd827456e9c28c  | no | 2 |
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| 28           | NPL Documents | PFPC_09-29-2003.pdf                                | 240607<br>41fa065571556d4b679c7b09b075a92738c1a07  | no | 3 |
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| 29           | NPL Documents | PFPC_07-24-2003.pdf                                | 409149<br>90f0a83a63c7a0d4f07d82c70be3c74b4fa8de0a | no | 3 |
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| 30           | NPL Documents | PFPC_05-16-2003.pdf                                | 291807<br>78f227a0d435af4d7564741369bec98f58894b8  | no | 2 |
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| 31           | NPL Documents | Mantas_Anti-Money_Laundering.pdf                   | 285678<br>94001157a14c59728f4b01184759ceb727946175 | no | 3 |
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| 32           | NPL Documents | Mantas_Supports_Section_312_of_USA_Patriot_Act.pdf | 200712<br>c78f756c2d5c0817a52a1ee08793ee0023a0f1   | no | 2 |
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| 33           | NPL Documents | Protiviti.pdf                       | 253723<br>417ad6c96d9143b82f416d72f0261c55bdf       | no | 2  |
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| 34           | NPL Documents | Krissah_Williams_07-31-2002.pdf     | 220657<br>d64c42c7a70b5b0474c0f090c2d923a7d4973da   | no | 3  |
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| 35           | NPL Documents | Memorandum_dated_May_2_2003.pdf     | 926567<br>613b3db080c5d5e91a12e41153b08c706d19      | no | 8  |
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| 36           | NPL Documents | Memorandum_dated_August_12_2003.pdf | 582196<br>e9725d0ec5a1d0e142d813cfd3c18c60a158b6d2  | no | 6  |
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| 37           | NPL Documents | Memorandum_dated_January_9_2004.pdf | 1395917<br>9c540c55513b7d886fec8b0a9b1c21832b2a3    | no | 11 |
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| 38           | NPL Documents | Kini.pdf                            | 958508<br>3e132d42857612045298555011e4b16f6c989     | no | 12 |
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| 39           | NPL Documents | Actimize.pdf                        | 737485<br>41707d4bd19c59dd69269c3ab7d18c0bf09bdcba7 | no | 4  |
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| 40           | NPL Documents | Paul_Adams_Anti-Terrorist_Rules.pdf | 459715<br>3ba3c9c08b36cde9c9c9641533252e09d173d7a   | no | 4  |
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| 41           | NPL Documents | OA_dated_10_09_07_for_020673.pdf    | 1099603<br>163b01152cc611bee666f25d1805249284dc7c9  | no | 11 |
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| 42                                  | NPL Documents           | OA_dated_9_4_08_for_030991-A.pdf           | 1475258<br>e1d0f552d141ca12a5a3ec2f618b181027c5d2      | no | 17 |
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| 43                                  | NPL Documents           | 030991-BCON_May_28_2009_Office_Action.pdf  | 2139531<br>afa1be01c70b18b64bba3c3c0779d0f3c8e0d       | no | 23 |
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| 45                                  | NPL Documents           | 030991-BCON_April_9_2009_Office_Action.pdf | 1248953<br>fe5746a51f79d1c7d76428e95e686c2d807a5d65    | no | 14 |
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| 46                                  | NPL Documents           | 030991-BCON_Sept_15_2009_Office_Action.pdf | 2009345<br>2a2133c15aeb191ed8f5a1176ec482bdce53871d897 | no | 20 |
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| 47                                  | Fee Worksheet (PTO-875) | fee-info.pdf                               | 31872<br>6d6210d86694e09475c26dc0ff06c2153d8928e55     | no | 2  |
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**New Applications Under 35 U.S.C. 111**

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**National Stage of an International Application under 35 U.S.C. 371**

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

**New International Application Filed with the USPTO as a Receiving Office**

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